DOP PROCESS GUIDE

APPENDIX B

Revised 02/01

DEPOT

CERTIFICATION

HANDBOOK

Revised 02/01

FORWARD

This handbook promulgates procedures for planning and conducting the NAVSEA certification of repair facilities selected to rework equipment and systems under the cognizance of the Naval Sea Systems Command. Certification includes the prove-in of repair procedures and Quality Assurance Plans (QAP), and requires the rework facility to demonstrate its capability to perform rework in accordance with these procedures and plans. However, at the discretion of the cognizant AM/PM/PEO, a repair facility's ISO 9000 standard certification in the areas of design, development, production, installation and/or servicing may supplement or replace the certification procedures in this handbook.

In the event a NAVSEA certification is deemed necessary, this document contains the procedures for a certification team evaluating the capability of an activity to perform intermediate and/or depot-level maintenance. The procedures are presented in four sections.

Section 1. Introduction - discusses scope, changes and updates, reference sources, and acronyms/abbreviations.

Section 2. Pre-certification Planning - describes certification team formation and training.

Section 3. Certification Steps Breakdown - outlines the events to be performed and the procedures to follow for each event.

Section 4. Post Certification - includes the procedures to follow in making conclusions and recommendations.

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SECTION 1

1.1 PURPOSE

The purpose of the NAVSEA certification program is to determine and certify the capability/capacity of an organic rework activity to perform depot-level maintenance on specifically defined equipment or components in accordance with directives and established industrial practices. The goal of the certification process is to provide a high level of confidence that the certified facility possesses the complete capability necessary to perform quality depot-level maintenance of assigned repairable systems, equipment and components. This handbook provides guidance to conduct certification programs.

1.2 SCOPE

This handbook applies to certification teams for organic Depot Level Repair Facilities (DLRFs) engaged in the repair/overhaul of systems, equipment and components. These facilities are hereafter referred to as DLRF. This handbook covers all depot certifications.

1.3 CHANGES AND UPDATING

Repair procedures and the associated Quality Assurance Plan (QAP) may be changed or waived prior to or during certification when there is a general consensus by the certification team and cognizant personnel at the rework facility. Such changes will be documented and submitted to the preparing activity for formal change action. Once the initial certification has been completed, further changes must be approved by the Program Manager, In Service Engineering Agent (ISEA) or by the Configuration Control Board.

1.4 REFERENCES

a. NAVSEAINST 5240.1B, Methods and Standards Program for Naval Shipyards.

b. MIL-STD-129N, Military Marking.

c. MIL-STD-973, Configuration Management.

d. MIL-HDBK-H53-1A, Guide for Attribute Lot Sampling Inspection.

1.5 ABBREVIATIONS AND ACRONYMS

The following abbreviations and acronyms are used in this document:

AQL	Acceptable Quality Levels
CA	Corrective Actions
DLRF	Depot Level Repair Facilities
DoD	Department of Defense
HM&E	Hull, Mechanical, and Electrical
ICP	Inventory Control Point
ISEA	In Service Engineering Agent
IUT	Item Under Test
LQ	Limiting Quality
MRB	Material Review Board
NAVSEA	Naval Sea Systems Command
NDT	Non Destructive Test
PCO	Procurement Contracting Office
PVI	Product Verification Inspection
QA	Quality Assurance
QA&R	Quality Assurance and Reliability
QAP	Quality Assurance Plans
QATIP	Quality Assurance Test and Inspection Procedure
QC	Quality Control

RFI	Ready for Issue
SIP	Standard Inspection Procedures
T&ME	Test and Measuring Equipment
TIDRR	Test and Inspection Discrepancy/Repair Report
TRS	Technical Repair Standard

SECTION 2

PRE-CERTIFICATION PLANNING

2.1 CERTIFICATION TEAM FORMATION

A certification team will be formed by the cognizant program manager for each activity/item being certified. In addition to the team leader, the team will be comprised of a representative from the In Service Engineering Agent (ISEA), a Quality Assurance (QA) representative and an industrial (process) representative. If additional expertise is required, the team leader will assign other team members. Where possible, team members will not be chosen from the activity being certified. However, technicians or mechanics will be assigned by the activity being certified to perform overhaul/repair functions that are to be observed by the certifying team.

2.2 CERTIFICATION TEAM TRAINING/BRIEFING

2.2.1 Program Goals

The maintenance and overhaul concept imposes unique requirements for those activities performing rework on repairables at the depot level of repair. It is the goal of the program that organic Depot Level Repair Facilities (DLRF) for each repairable be capable of performing rework in a cost effective manner. A further goal is to achieve a 70-day turnaround time for rework. This allows 10 days for shipment each way to achieve the goal of a 90-day turnaround time from repairable removal to Ready-For-Issue (RFI) status at the point of issue.

2.2.2 Inspection by Attributes

Inspection by attributes is inspection whereby either the unit of product is classified simply as defective or non-defective, or the number of defects in the unit of product is counted with respect to a given requirement or set of requirements.

2.2.3 Unit of Product

For purposes of this handbook, the unit of product is classified as defective or non-defective. The defect will be classified as critical, major or minor.

2.2.4 Critical Defect

A critical defect is one that judgment and experience indicate is likely to cause hazardous or unsafe conditions for individuals who are using, maintaining, or depending upon the product; or is one that judgment and experience indicate is likely to prevent performance of the tactical function of a major end item such as a ship or missile. The DLRF may be required by the ISEA to inspect every unit of the batch for critical defects.

2.2.5 Initiation of Inspection

(Normal inspection will be used at the start of inspection unless otherwise directed by the In Service Engineering Agent ISEA).

2.2.6 Selection of Repair of Procedures to be Certified

The ISEA will determine the lot or batch size and a random selection of procedures to be certified. The ISEA will also determine the outgoing Acceptable Quality Levels (AQL) in accordance with Attachment A. For individual components in a facility that is doing a similar type of work, certification may be waived with the concurrence of the technical program manager.

2.2.7 Agenda

The following items will be instructed to team members through training/briefing sessions:

a. Rework activity.

b. Repairables list.

c. Certification forms.

d. Historical data.

e. Meetings.

f. Certification plan.

g. Specifications, drawings and lists.

h. Conclusions, recommendations and reports.

2.2.8 Training/Briefing

Each person assigned to conduct team training or briefing will prepare a lesson outline that will cover the following:

a. Rework Activity: This will be a general briefing on the location and physical aspects of the activity to be certified. Availability of quarters, food service and transportation will be covered. Team members will be assigned responsibilities for:

(1) Security clearance transmittal
(2) Airline tickets and reservations
(3) Land transportation
(4) Living accommodations

b. Repairables: A list of repairables to be certified, together with applicable repair procedures, will be prepared, and responsibilities for each repairable will be assigned to team members.

c. Certification Forms: Certification forms, NAVSEA 4419/7 and 4419/8, will be distributed to appropriate team members. Attachments B and C contain sample forms to be used for certification site surveys. If deficiencies are found to exist at prospective DLRFs, these forms will provide supporting documentation for the certification checklist promulgated in paragraph 2.4 of this handbook. A thorough briefing will be conducted covering the data format and method of completing these forms.

d. Historical Data: Complete documentation of correspondence and pre-certification activities, including waivers, deviations and engineering changes, will be provided to the appropriate team members.

e. Meetings: The team will be briefed on projected agendas for pre-certification meetings, certification meetings and post-certification meetings. A certification plan will be developed during pre-certification meetings.

f. Certification Plan: The certification plan will be an informal narrative used to conduct the certification for each repairable assigned. Milestones will allocate the sequence and time frames in which each certification will be conducted.

g. Specifications, Drawings and Lists: For each repairable, the appropriate technical data will be listed. It will be ascertained whether the technical documents will comprise baseline documentation or be

accompanied by appropriate change data and revision status. Team members will be thoroughly briefed on all waivers, deviations and change orders and their possible impact on certification.

h. Conclusions, Recommendation, and Reports: Team members will be apprised of the desired content and format for post-certification documentation, including all technical data and trip reports.

2.3 PRE-CERTIFICATION MEETINGS

Prior to certification, cognizant intermediate or depot personnel and the certification team will meet to establish routines and procedures, to develop milestones and to brief all concerned. In addition, after receipt of the entire repair procedures package and at least 30 days prior to start of actual certification, the team leader will meet with the team's QA representative and representative from the cognizant ISEA to finalize the certification plan. The cognizant program manager will be responsible for retention of a master copy of all repair procedures.

2.4 CERTIFICATION CHECKLIST

When the activity is ready to be inspected, it will send a confirmation message to the cognizant program manager and arrange for the pre-certification meeting. Subsequent to the pre-certification meeting and during or after the certification process, the team leader will complete NAVSEA 4419/6, Certification/Checklist (figure 2-1), in the following manner:

a. At the top of the checklist, the name and designation of the activity being certified will be entered along with the nomenclature, Mk and Mod number, drawing number and national stock number of the item(s) being inspected.

b. On line 1 of the record, the date of the team's arrival under the STARTING DATE and the name of the certification team leader will be entered.

c. The following guidelines apply to lines 2 through 16:

(1) In the columns labeled START, FINISH, and INITIAL, the month and day the certification started and completed are to be entered with the initials of the certification team member.

(2) In the column labeled SHOP NAME/NUMBER, the shop location at the DLRF where the certification check was performed will be entered.

(3) Additional data concerning the item may be entered in the REMARKS column or in notes at the bottom of the form and continued on the back of the sheet.

(4) The signature of the certification team leader will certify that the item qualifies for certification.

CERTIFICATION/VALIDATION CHECKLIST

ACTIVITY NAME:					**ACTIVITY DESIGNATION:**		
NOMENCLATURE:					**MARK/MOD OR MIL DESIG NO.**		
NAVSEA TOP DRAWING NO.:					**NSN:**		
TRS NO:							
1	**ACTIVITY PREPARED TO RECEIVE TEAM**	**STARTING DATE**			**CERTIFICATION/VALIDATION TEAM LEADER**		
CHART NO.	**MILESTONE EVENT**	**MONTH - DAY**			**RESPONSIBLE ORGANIZATION AND INDIVIDUAL**	**SHOP NAME/NUMBER**	**REMARKS**
		START	**FINISH**	**INITIAL**			
2	**DOCUMENTATION REVIEW**						
3	**DOCUMENTATION CONTROL**						
4	**TEST AND MEASURING EQUIPMENT CONTROL**						
5	**STATUS CONDITION AND DISPOSITION TAGS**						
6	**MATERIAL STORAGE CONTROL**						
7	**NON-CONFORMING MATERIAL INSPECTION**						
8	**INCOMING MATERIAL EQUIPMENT INSPECTION**						
9	**EQUIPMENT PIECE PART INSPECTION/EVALUATION**						
10	**OVERHAUL/REPAIR PROCEDURES**						
11	**PRODUCTION STANDARDS AND CONTROLS**						
12	**CORRECTIVE ACTION**						
13	**SAFETY**						
14	**PERSONNEL TRAINING**						
15	**FINAL ACCEPTANCE INSPECTION**						
16	**POST ACCEPTANCE INSPECTION**						

NAVSEA 4419/6

NOTES:

TEAM LEADER SIGNATURE _____

DATE _____

Figure 2-1, Certification/Validation Checklist

SECTION 3

CERTIFICATION STEPS BREAKDOWN

3.1 CERTIFICATION EVENTS

Instructions for completing the certification events list are contained in the following text.

3.2 DOCUMENTATION REVIEW

a. Compare the part number of the repairable being certified with the part number listed in the repair procedure or other documentation.

b. Compare the latest revision of documentation with the latest revision the activity has on file to ascertain that the revision codes on both documents are identical.

c. Review the Test and Inspection Discrepancy/Repair Report (TIDRR) referenced in the repair procedure to ensure that the work centers, shop codes, operator skill level and QA responsibilities are clearly identified.

d. Inspect the repair procedure to ensure that the efforts required by all participants are clearly defined.

e. Inspect the repair procedure to ensure that required analyses or tests are clearly defined and that special test equipment, materials, calibrations and certifications are specified.

f. Inspect DLRF instructions pertaining to reporting and correcting discrepancies in technical documentation to ensure that the activity complies with the requirements set forth in NAVSEAINST 5240.1B, if applicable.

3.3 DOCUMENTATION CONTROL

a. Obtain the control document from the technical data repository of the DLRF. Compare it with the floor document used by the technician to ensure that the two documents match.

b. With the QA inspector of the activity, ascertain that a method is in use to ensure that periodic monitoring and updating of the documents takes place as described in paragraph 3.2.

c. With the QA inspector, ascertain that the local documents used in the production line and in test and inspection areas are monitored and kept current.

d. Compare the floor document with the master document in the DLRF technical data repository to confirm that the changes and revisions have been posted to the floor document and that cognizant personnel have been advised.

e. Compare the floor document with the master document to ensure that records are accurate relative to the documentation inventory. Check records for distribution and a list of current holders of originals or copies**.**

3.4 TEST AND MEASURING EQUIPMENT CONTROL

a. Inspect the Test and Measuring Equipment (T&ME) current calibration status to ensure that labels and tags are attached and that the next calibration due date is clearly marked. If it does not bear a date or if the date is past due, use of the equipment will be temporarily discontinued.

b. Compare the Department of Defense (DoD) local instructions concerning calibration with the Quality Assurance Plan (QAP).

c. Verify that the T&ME is the same as that described in the repair procedure.

3.5 STATUS CONDITION AND DISPOSITION TAGS

a. Verify that tags or other indicators on the item being repaired conform with the instructions in MIL-STD-129N.

b. Verify that the stamp or other indicators on the item are traceable to authorized personnel on the stamp authorization list retained by the QA director.

c. Verify the part number and serial number on tags and other indicators against the numbers on the equipment.

3.6 MATERIAL STORAGE CONTROL

a. Verify that material/equipment in storage is properly identified with tags and other indicators in accordance with MIL-STD-129N.

b. Verify that there is a QA procedure for protecting and controlling stored items to prevent deterioration, damage, degradation, or unauthorized use or issue**.** Randomly inspect the stored items to confirm adherence to the procedure.

c. Compare stock records with randomly selected items in stock to determine that the records are being kept up-to-date.

3.7 NON-CONFORMING MATERIAL/EQUIPMENT

a. Compare the activity's instruction pertaining to non-standard material with the QAP.

b. Inspect the DLRF storage manual for instructions on non-conforming material equipment and determine if discrepancies are recorded and signed by the QA inspector.

c. Determine that the DLRF instructions on deviations and waivers are available and in accordance with MIL-STD-973.

d. Ascertain that the activity has provisions for a Material Review Board (MRB) or equivalent.

3.8 INCOMING MATERIAL/EQUIPMENT INSPECTION

a. Ascertain that the material is inspected for damage upon receipt.

b. Verify that counted or weighed material conforms to receiving documents.

c. Determine that the receiving department provides QA with a daily list of all material shipments received.

d. Ascertain that the activity has a safety procedure for handling equipment and that it is being followed.

e. Verify that sufficient space is available for handling equipment.

3.9 EQUIPMENT PIECE PART INSPECTION/EVALUATION

a. Obtain copies of the activity's teardown and operation standards and observe that technicians on the floor adhere to instructions.

b. Ensure that all items are properly labeled or tagged as to material condition for subsequent disposition.

c. Verify that sufficient tools are available to perform the required work.

d. Make visual observation to ensure personnel are adhering to safety standards.

3.10 OVERHAUL/REPAIR PROCEDURES

a. Verify that the DLRF QA inspector has sufficient test and inspection plans and that they are being followed.

b. Verify that Standard Inspection Procedures (SIPs) are available.

c. Ensure that repair procedures are available and being utilized.

d. Ensure that the technicians are following the DLRF overhaul/repair standards.

3.11 PRODUCTION STANDARDS AND CONTROLS

a. Inspect the local production procedures.

b. Ensure that the operator testing the designated repairable enters the measured data on the record sheet. Ascertain that the operator informs the QA inspector when the data fails to meet the specified limits.

c. Observe what steps are taken to ensure that the repairable is tagged for referral to the MRB if the inadequacy cannot be corrected.

d. Observe that the operator performs the complete processing operations as listed on the TIDRR referenced the repair procedure.

e. Ascertain that the date of the controlling document matches the latest revision date of the controlling drawing.

f. Where sampling of production batches or lots is to be used as a condition for certification, Attachment A will be used as a guideline.

3.12 CORRECTIVE ACTION

a. Obtain a copy of the Corrective Action Program document of the activity. Determine if the document clearly states the procedures for identifying and correcting discrepancies.

b. Determine if follow-up action is being accomplished.

c. Determine that the Corrective Action Program contains procedures for collecting discrepancy data and establishing methods to prevent recurrence.

d. Determine that corrective action documents are maintained and controlled in an effective manner and that copies are forwarded to appropriate reliability, maintainability and accountability data collection activities.

3.13 SAFETY

a. Verify with the activity's safety director that safety programs are current and systematically updated.

b. Inspect the safety instructions for adequate precautions.

c. Verify that there are procedures for reporting safety hazards and that all personnel are familiar with these procedures.

3.14 PERSONNEL TRAINING

a. Check each technician or operator's certification card and training record in the QA office to ensure that they have received proper training to fulfill the current job assignment.

b. Determine what future training is being planned to upgrade the knowledge and proficiency of personnel.

3.15 FINAL ACCEPTANCE INSPECTION

a. Upon completion of all production/assembly processes and prior to product packing, ensure that all material is submitted to a quality verification final inspection.

b. Examine the Quality Assurance Test and Inspection Procedure (QATIP) to ensure that final acceptance is being done in accordance with existing instructions.

3.16 POST ACCEPTANCE INSPECTION

a. Examine the activity's repair procedures for Inventory Control Point (ICP) packaging requirements and check sample items to see if they conform.

b. Examine the TIDRR for evidence of final acceptance by the QA inspector.

c. Inspect sample items to see that the material condition code tag is attached to the item and that it bears a QA stamp and date.

3.17 CERTIFICATION NOTES

Notes will cover matters pertinent to the certification not covered by the checklist and any other information that the certification team deems significant.

SECTION 4

POST CERTIFICATION

4.1 POST CERTIFICATION PROCEDURES

During the certification, each team member will maintain a list of items to be discussed at the post certification meeting and included in post certification reports. A post certification meeting at the certification site will include team members as well as production/shop personnel. The agenda will include a review of certification logs and other matters at the discretion of the certification team leader.

4.2 CONCLUSIONS AND RECOMMENDATIONS

The certification team leader will prepare the final report on the certification efforts. It will include conclusions and recommendations for corrective action and indicate whether the activity has passed the certification.

ATTACHMENT A

SAMPLING PROCEDURES

A.1 RANDOM SAMPLING PLAN

Table A-1 is a guide to be used in certifying repair procedures art DLRFs. Lot size and sampling sizes have been determined by considering the unique features of electronic, mechanical, and hybrid modules. If it is determined by the certification team leader during certification that additional quantities should be verified due to a high percentage of errors discovered, the team leader will proceed to verify as many procedures as he deems necessary to achieve an acceptable percentage of accuracy. Certification team leaders will select repair procedures to be certified. ISEAs may require that a higher percentage of procedures be verified or include specific repair procedures with the random selection on which verification will be mandatory.

A.2 RANDOM SAMPLING GUIDE

The column headings used in Table A-1 are defined as follows:

a. Lot Size. Total quantity of repair procedures per type.

b. Repairables.
   (1) Electronic. 100 percent electronic in design.
   (2) Hybrid. Mixture of electronic and mechanical function.
   (3) Mechanical. 100 percent mechanical in design.

A.3 DETERMINATION OF THE PERCENTAGE USED FOR RANDOM SAMPLING

The percentages of the lot sizes to be sampled for certification, as shown for the electronic, hybrid and mechanical repair procedures, are determined by the complexity of the repair requirements. Electronic modules require less complex repair procedures because problem areas can easily be pinpointed using automatic test equipment. Mechanical repairables, however, require one or more individuals to manually determine and evaluate module failure through a variety of tests. The repair procedure must, therefore, be specific and, in some cases, intricate. The probability of error with hybrid repair procedures is appreciably reduced because hybrids are a combination of mechanical and electronic components.

Table A-1. Random Sampling Guide Percentage Table

Repairables

LOT SIZE	ELECTRONIC	HYBRID	MECHANICAL
1-9	100%	100%	100%
10-19	90%	93%	95%
20-35	75%	85%	90%
36-50	65%	75%	78%
51-75	60%	70%	73%
76-100	55%	68%	70%
101-150	50%	60%	65%
151-200	45%	50%	60%
200-300	40%	45%	50%
301-400	35%	40%	45%
401-500	30%	35%	40%
501-750	25%	30%	35%

ATTACHMENT B

FACILITY SURVEY PROCEDURES

When specific program requirements are unknown, but the general market requirements are known and a range of product areas are identified, the following facility survey procedures will be used. The survey sheets will be tailored to evaluate the area of interest.

FACILITY SURVEY

1. ACTIVITY	2. LOCATION	3. DATE

4. SHOP/FACILITY

5. FEATURES:

AREA AVAILABLE _____

STORAGE INSIDE (SQ. FT.) _____ **STORAGE OUTSIDE (SQ. FT.)** _____

6. SUPPORT/TEST EQUIPMENT:

SUPPORT EQUIPMENT	TEST EQUIPMENT	OTHER (TOOLS,JIGS,FIXTURES,ETC.)

☐ **SEE ATTACHED FOR ADDITIONAL EQUIPMENT**

7. MATERIAL HANDLING CAPABILITIES:
REMARKS:

8. ESTIMATED UTILIZATION _____**% OF CAPABILITIES**

9. SPECIAL FEATURES:

10. PRESENT PRODUCTS OR SERVICES:

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FACILITY SURVEY – Continued

11. SUPPORT FACILITIES:

FACILITY	LOCATION

12. TOTAL NUMBER OF PERSONNEL: _____

TYPE	NO.	TYPE	NO.

13. REMARKS

14. INTEREST, COMMITMENTS, AND GENERAL KNOWLEDGE OF PROGRAMS/TASKS:

FACILITY SURVEY – Continued

CATEGORY		REMARKS
I. ORGANIZATION **A.** To what level of management does the Quality Control (QC) Department report? **B.** Does the QC Department have a written quality policy and procedures detailing responsibilities? List in Remarks. **C.** Which of the following functions does the activity maintain as part of the inspection and quality program? 1. A Design or Engineering Department? 2. Incoming Inspection Department? 3. In-process Inspection Department? 4. Final Inspection Department? 5. A quality audit function that performs internal audits and surveys? 6. A calibration control program and laboratory for maintenance of test and inspection equipment? 7. Is the activity operating a single quality system for all products or dual systems? 8. Other: (describe)		

FACILITY SURVEY – Continued

CATEGORY		REMARKS
II. ENGINEERING AND DOCUMENTATION CONTROL		
A. Does the activity have written instructions or procedures for incorporating specifications into shop work orders?		
B. Are there adequate procedures for submitting waivers or other variation requests?		
C. Does the Engineering or QC Department alert the Purchasing Department of special requirements?		
D. Is there a system to ensure drawings are updated with the latest revision and a control over the drawing issued?		
E. Does the activity have a positive method t recall and replace documentation with latest the changes?		
III. SUPPORT AND TEST EQUIPMENT		
A. Are written procedures and methods available for the calibration and control of measuring and test equipment?		
1. Is there a positive recall system to assure that test equipment is recalibrated on or prior to the due date?		
2. Are records maintained for the calibration of each instrument used to accept products?		

FACILITY SURVEY – Continued

CATEGORY		REMARKS
3. Are all instruments identified with the due date of the next calibration?		
4. Are calibration frequencies based on degree of usage, accuracy, and stability?		
5. Is production tooling used as a media of inspection under gage control?		
6. Are personally owned gages used to perform acceptance inspections under gage control?		
B. Are calibration standards maintained and accurate for their intended use?		
1. Are the calibration standards used traceable to the National Bureau of Standards and are certificates available attesting to this?		
2. Is measuring equipment calibrated and utilized in an environment that is controlled to the extent necessary to ensure measurements of required accuracy?		
3. Are there instructions available for operating sophisticated types of equipment?		
IV. INCOMING MATERIAL AND EQUIPMENT		
A. Are rating systems or other forms of performance data available to the Receiving Department?		
B. Does the QC Department review purchase orders to ensure all necessary quality requirements are specified?		

FACILITY SURVEY - Continued

CATEGORY		REMARKS
C. Are purchase orders/receipts made available to incoming Inspection Department?		
D. Are drawing changes made available to the incoming Inspection Department?		
E. Are written inspection instructions and acceptance standards available in the incoming inspection area?		
F. Are suppliers' test records used for acceptance?		
G. Are physical and chemical test reports of materials checked to assure they conform to specifications?		
H. Are materials identified on the physical and chemical test reports (No./Code and/or Heat No.)?		
I. Is there an acceptable established schedule or frequency for performing material verification checks?		
J. Are records kept to show acceptance and rejection of incoming material?		
K. Are materials properly identified as to inspection status?		
L. Are non-conforming materials identified as such and held in a segregated area until dispositions can be made?		
M. If sampling inspection is used, are the sampling plans approved?		
N. Are sampling levels adjusted according to inspection history?		

FACILITY SURVEY - Continued

CATEGORY		REMARKS
O. Are process averages maintained in order to control AQL assignments?		
V. SPECIAL PROCESS		
A. Does Activity have adequate written procedures for special processes?		
B. Are special processes approved as required by the cognizant authority?		
C. Are adequate methods provided to assure compliance with special processes and specifications?		
D. Are special operators' (such as welders and NDT examiners) qualification records maintained?		
VI. OVERHAUL/REPAIR PROCEDURES		
A. Do work instructions specify tooling, operation sequence, methods, and technical requirements, etc.?		
B. Are there instructions to provide for contro and maintenance of material identification and markings during manufacturing operations?		
C. If scrap control is a program requirement, are the activity's procedures adequate?		
D. Are first piece and/or in-process inspectior being applied?		
E. Are written inspection instructions with acceptance standards available?		
F. Is material identified as to the inspection status?		

CATEGORY	REMARKS
G. Are the inspection records on file?	
H. Are non-conforming parts identified and promptly segregated from acceptable parts and the reason for the non-conformance described?	
I. Is reworked material submitted for re-inspection?	
VII. FINAL INSPECTION OF COMPLETED MATERIAL	
A. Are written inspection instructions and acceptance standards provided for final inspection?	
B. Are product drawings and/or specifications and detail shop drawings available for fina inspection?	
C. Are drawing revisions, as specified by the contract, used for acceptance?	
D. Are the contract marking requirements available at final inspection (name plates, heat, batch, lot numbers, etc.)?	
E. Are checklists used to verify that all required inspections have been accomplished (including documentation and certifications)?	
F. Are non-conforming materials promptly identified and segregated?	
G. Are materials adequately identified as to inspection status?	
H. If sampling inspection is used, have the sampling plans been approved?	

CATEGORY		REMARKS
I.	Are process averages maintained in order to control AQL assignments?	
J.	Are sampling levels adjusted according to inspection history?	
VIII.	**PACKING, STORAGE, AND DELIVERY**	
A.	Are there adequate written instructions for packaging, marking, and shipping available to the shipping personnel?	
B.	Are the marking instructions issued to the Shipping Department?	
C.	Is there a check-off list to ensure all required documentation and software items are included with each shipment?	
D.	Are interior and exterior containers marke IAW the contract requirements to properly identify the contents?	
E.	Are shelf-life items properly identified and controlled (i.e., first-in, first-out control period inspections)?	
F.	Is the storage area adequate to prevent deterioration or damage?	
G.	Are military packaging tests performed and documented?	
H.	When clean room conditions are required by the activity, is adequate control exercised?	
I.	Are stored raw materials properly segregated (type, class, etc.) and identified for traceability	

FACILITY SURVEY - Continued

CATEGORY		REMARKS
J.	Are delivery and shipping records maintained by heat, batch lot, etc. to ensure forward traceability and material recovery?	
IX.	**NON-CONFORMING MATERIALS AND CORRECTIVE ACTION**	
A.	Are there written procedures specifying definitive time frames for handling defective materials and reporting corrective actions?	
B.	Are complaints recorded and readily accessible?	
C.	Is action taken to promptly document and correct all conditions that caused submission of non-conforming materials to the Government?	
D.	Are customer complaints and records of defective materials maintained for feedback data to prevent recurrences and effect quality improvements?	
X.	**PERSONNEL AND TRAINING**	
A.	Is present staffing appropriate?	
B.	Are personnel properly trained for their respective job assignments and are training records maintained?	

ATTACHMENT C

DLRF CERTIFICATION SURVEY PROCEDURES

DLRF certification procedures are used when specific requirements have been developed. The following survey sheets will be tailored to the specific program requirements as detailed by the task statement Technical Repair Standard (TRS) or other procedural repair/restoration documents and the governing specification used in manufacturing the Item Under Test (IUT).

DLRF CERTIFICATION SURVEY

1. ACTIVITY	2. LOCATION	3. DATE
4. SHOP/FACILITY	5. PROGRAM:	

6. CERTIFICATION TEAM LEADER: _____

PARTICIPANTS AND PERSONNEL CONTACTS:

NAME	TITLE	LOCATION
_____	_____	_____
_____	_____	_____
_____	_____	_____

7. PROGRAM REQUIREMENTS:

SUPPORT EQUIPMENT	SAT	UNSAT	TEST EQUIPMENT	SAT	UNSAT	DOCUMENTATION	SAT	UNSAT
_____	☐	☐	_____	☐	☐	_____	☐	☐
_____	☐	☐	_____	☐	☐	_____	☐	☐
_____	☐	☐	_____	☐	☐	_____	☐	☐

8. MATERIAL HANDLING CAPABILITIES: ☐ SAT ☐ UNSAT

9. SPECIAL FEATURES:

	SAT	UNSAT		SAT	UNSAT
_____	☐	☐	_____	☐	☐
_____	☐	☐	_____	☐	☐
_____	☐	☐	_____	☐	☐

10. TOTAL NUMBER OF PERSONNEL: _____

TYPE	NO.	SAT	UNSAT	TYPE	NO.	SAT	UNSAT
_____	_____	☐	☐	_____	_____	☐	☐
_____	_____	☐	☐	_____	_____	☐	☐
_____	_____	☐	☐	_____	_____	☐	☐

11. SUPPORT FACILITIES:

FACILITY	SAT	UNSAT	LOCATION	SAT	UNSAT
_____	☐	☐	_____	☐	☐
_____	☐	☐	_____	☐	☐
_____	☐	☐	_____	☐	☐

DLRF CERTIFICATION SURVEY – Continued

12. REMARKS:

13. EXPLANATION OF UNSATS FROM AREAS OF REVIEW AND DISCUSSION:

14. CERTIFICATION RECOMMENDED ☐ **NOT RECOMMENDED** ☐

SIGNATURE: _____

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DLRF CERTIFICATION SURVEY – Continued

AREA OF REVIEW AND DISCUSSION		REMARKS
I. CONCEPTS AND PLANNING		
A. Has an initial review of the requirements or specification been performed? (List under Remarks.)		
B. Do any ambiguities exist in the requirements and/or specifications?		
C. Is further assistance required from the procuring agency or technical codes? Is a post-certification conference, etc. required?		
D. Has initial QA planning established the methods and schedules for verifications and inspections?		
II. PROCEDURES REVIEW		
A. List procedures/requirements under Remarks.		
B. Have all procedures required by task to control manufacturing processes, inspections, and tests been presented for review?		
C. Are the activity's procedures, facilities, and inspection characteristics sufficient?		
D. Has the activity been advised of the acceptability of the written procedures?		
E. During certification, were any of the contractor's written procedures found to be inadequate? (Answer in Remarks column.)		

AREA OF REVIEW AND DISCUSSION		REMARKS
F.	If the answer to E. above was YES, how was the activity notified? Are there still outstanding replies or actions pending?	
III.	**PRODUCT VERIFICATION INSPECTION (PVI)**	
A.	Is the activity Quality Assurance and Reliability (QAR) Section qualified to perform all special processes, tests, and inspections required to assure the quality of the materials being provided?	
B.	If the answer to A. above is NO, has other technical help been requested?	
C.	Have designated PVIs been performed as required?	
D.	Have any PVIs been invoked that are impractical or unreasonable to perform (i.e., late arrival PVIs, impractical sampling plan, or duplicate inspections)? If the answer is YES, explain in Remarks column.	
E.	Have delegated PVIs been re-delegated to subcontractor level when required?	
F.	Are PVIs action identified to specific contracts, lots, part numbers, or serial numbers?	
G.	Do PVI records follow the numbering sequence requested by letters delegating PVIs?	
H.	Has a checklist been established to ensure that all required items and inspections are completed and enclosed with each shipment?	

DLRF CERTIFICATION SURVEY - Continued

AREA OF REVIEW AND DISCUSSION	REMARKS
IV. CORRECTIVE ACTION (CA)	
A. Does the activity have a mutual agreement for handling procedural departures, non-conformances and other complaints?	
B. Are any requests for technical evaluations (waivers) outstanding for which a reply has not been received from the procuring activity?	
C. At the present time, are there any deficiencies from other surveys for which corrective actions are pending?	
D. Does the activity attempt to deal directly with Procuring Contracting Office (PCO), administration and technical codes?	
E. Has the activity been advised by any customer (i.e. DoD activity, Defense, Logistics Agency (DLA) or NAVSEA) that the activity's performance is unsatisfactory?	
F. Are the customer complaints readily available?	
G. Are copies of customer complaints maintained at the QAR operating level to be used to adjust QA actions?	
V. OTHER	
A. Are any areas not receiving adequate coverage through invoked quality specifications, PVIs or QAP and that need additional efforts by procuring activities, technical codes, etc.?	

AREA OF REVIEW AND DISCUSSION		REMARKS
VI. PERSONNEL AND TRAINING **A.** Are adequate personnel available? **B.** If additional training is required, list type of training and personnel in the Remarks column.		